



Questionnaire Transition Management Services – Fixed Income

Seattle City Employees' Retirement System is interested in identifying firms that may be able to assist, when the need arises, in transitioning fixed income securities. We will consider dividing up portfolios by security type and utilizing different firms based on their abilities.

Firm Information

Firm Name:

Firm Address:

Contact Name:

Contact Phone Number:

Contact Email Address:

Date Firm Founded:

Type of Firm:

Provide a Brief Description of the Firm's History:

Describe the firm's current ownership structure.

In the last ten (10) years has your firm or any officer, director/partner or principal been involved in civil or criminal litigation or other legal proceedings in which claims alleging negligence or fraud? If so, please explain.

In the last ten (10) years has your firm been the subject of any investigations by a federal or state governmental agency? If so, please explain.

Does your firm have errors and omissions or fiduciary liability insurance? If so, in what amounts?

Traders Profile

Please provide the names and a brief biography of the individuals that will be involved in the trading of the fixed securities.



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Trading Capability

List the average daily trading volume for each of the last 3 years, for fixed income securities, by buys and sells, and by type of security (i.e. government, agencies, corporates, high yield, etc.)

Please identify the types of fixed income securities that your firm will be able to excel at providing best execution, and describe why.

Transition Process

Please describe the process undertaken for fixed income transitions.

Please provide a sample pre-trade analysis report.

Please provide a sample post-trade analysis report.

Please describe the measures employed to evaluate execution.

How many fixed income transitions have you performed over the last three years, and what was the average dollar volume of each?

Fees

Please describe the fees charged for a fixed income transition.

Do you earn soft dollars on fixed income transitions?

References

Please provide the name and contact information for 2 clients (*preferably public funds*) that you have provided a fixed income transition.

SCERS Mailing Address

Please submit your information either via email to: mel.robertson@seattle.gov

Or hardcopy to: Mel Robertson, CIO
Seattle City Employees' Retirement System
801 Third Avenue, Suite 300
Seattle, WA 98104